

LEAD SCIENTIST – NON-SUPERVISORY PERFORMANCE PLAN

PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET

1. Name (Last, First, M.I.) Position Title:	Pay plan, Series, Grade	Agency/Division	APPRAISAL PERIOD From: To:
2. PERFORMANCE ELEMENT No. 1 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			X CRITICAL NONCRITICAL
Element Number 1 - PLANS AND CONDUCTS PERSONAL AND TEAM RESEARCH, PROJECT LEADERSHIP			
3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)			
<p><u>Alignment to Strategic Plan:</u> This position directly contributes to the accomplishment of ARS Strategic Goal No _____ and the ARS National Program _____. The elements of these Performance Standards reflect the specific milestones, outcomes, and accomplishments expected.</p> <p>FULLY SUCCESSFUL LEVEL</p> <ul style="list-style-type: none"> Ensures that Project Plans developed for required peer reviews are submitted within scheduled deadlines set by the Area Office, the Office of National Programs (ONP) and the Office of Scientific Quality Review (OSQR). Development of Project Plans is accomplished by soliciting input from scientific staff on the research team and other scientists internal and external to the Agency. Project Plans are organized according to OSQR formatting guidelines and are coherent, scientifically sound and accurate, and grammatically correct. Project Plans reflect research objectives and procedures that are consistent with the guidance provided by the ONP, the pertinent National Program Action Plans, Agency priorities, and Area specific requirements. Project Plans are developed cooperatively with research scientists, the Research Leader, Laboratory/Center/Institute Directors, the Area Office, and the ONP in all phases of project development and preparation for the peer review process. Responses to peer review recommendations adequately address reviewers' concerns by reflecting recommended changes in the Project Plans or by appropriate and constructive justification as to why the recommended changes were not made. Ensures that Project Plans are successfully reviewed and certified for implementation. Research conducted by all personnel assigned to the project is monitored and progress reports are provided to the Research Leader, as required, to ensure research is performed as outlined in Project Plan. Continuously oversees research projects to ensure that the research being conducted is appropriate to the approved Project Plan and is of high quality. Develops personal annual research plans that are innovative, organized, logical, original, and designed to address Current Research Information System (CRIS) objectives. This includes planning research and publications that meet ARS Guidelines on Authorship requirements [ARS P&P 152.1 and 152.2] for participation in conception or design of experiments, and/or analysis and interpretation of data. When appropriate, develops CRIS project documentation, agreements, technology transfer activities [Cooperative Research and Development Agreements (CRADAs), Material Transfer Agreements (MTAs), etc.], and extramural funding proposals that are consistent with Project Plan objectives or enhance research to address the Administration's research priorities. Conducts personal and team research according to the approved Project Plan. Executes research protocols so that the investigations generate timely, reliable and valid data that will yield meaningful contributions to knowledge or technology suitable for publication of original full-length articles in refereed journals or as other documentable evidence of accomplishment (patents, variety releases, model releases, etc.). Promotes effective communication and cooperation with colleagues in team research. Keeps Line Supervisors and ONP informed of progress in meeting CRIS project milestones and of any needed adjustments to CRIS objectives. <p>SPECIFIC GOALS FOR THE RATING PERIOD:</p>			
4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)			EXCEEDS FULLY SUCCESSFUL DOES NOT MEET

ACCOMPLISHMENTS:

5. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN

Signatures certify discussion with the employee and receipt of plan that reflects current position description

Employee's	Date
Supervisor's Signature	Date
Reviewer's Signature	Date

6. PROGRESS REVIEWS (at least one must be completed)

Employees' Initials and Date			Supervisor's Initials and Date		

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1. Name (Last, First, M.I.) Position Title:	Pay plan, Series, Grade	Agency/Division	APPRAISAL PERIOD From: To:
2. PERFORMANCE ELEMENT No. 2 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			X CRITICAL NONCRITICAL
Element Number 2 - REPORTS RESEARCH RESULTS			
3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)			
<p>FULLY SUCCESSFUL LEVEL</p> <ul style="list-style-type: none"> • Prepares annual reports (ARS-421) that accurately document progress towards meeting CRIS research objectives, milestones, outcomes and accomplishments, following Agency instructions for format, style and content. • Completes manuscripts that reflect original research and valid interpretations for publication in refereed journals. Enters all publications, including manuscripts (scientific journal articles, semi-technical or trade journal articles, book chapters, reviews, popular articles, workshop reports, symposium proceedings, etc.), books, monographs, electronic publications, and abstracts into the Agricultural Research Information System (ARIS) via form ARS-115 for approval by the Research Leader prior to submission. • The minimum requirement for reporting research results can be met by authorship on two manuscripts of original research for refereed journals. Manuscripts must be submitted to journal and/or other outlet and documented in ARIS within the rating period. • A patent application, approved germplasm release/registration submitted to a refereed journal and documented in ARIS within the rating period, or a peer-reviewed model may provide equivalency credit for reporting original research in a refereed journal. • With the approval of the Area Director, minimum reporting requirements may be modified for new hires during the first two rating periods, in case of personal or medical hardship. • Makes diligent efforts to pursue publication of manuscripts by submitting revisions within journal editorial guidelines. Revises and resubmits any rejected manuscript to an appropriate journal within one year of the rejection notice date. Continuously updates the status of unpublished manuscripts in ARIS. Justification for not resubmitting a rejected manuscript is subject to supervisory review and approval. Resubmission of a rejected manuscript approved in a prior performance period does not count toward fulfilling the minimum requirement for reporting research in the current rating period. <p>SPECIFIC GOALS FOR THE RATING PERIOD:</p>			
4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)			EXCEEDS FULLY SUCCESSFUL DOES NOT MEET
ACCOMPLISHMENTS:			

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2. PERFORMANCE ELEMENT No. 3 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			CRITICAL X NONCRITICAL
Element Number 3: TECHNOLOGY TRANSFER, PROFESSIONAL ADVISORY, & CONSULTING ACTIVITIES			
3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)			
FULLY SUCCESSFUL LEVEL			
<ul style="list-style-type: none"> Responds promptly, accurately, and in accordance with established procedures to both internal and external customers to meet their needs. Communicates with the customer in a courteous, respectful and professional manner and ensures that the given information is clear, accurate and provided within agreed upon time frames. Examples of ways that information may be disseminated include oral or poster presentations, practical demonstrations, seminars, workshops, or one-on-one information exchange. Participates in technology transfer activities in compliance with ARS P&P 141.2 that foster implementation and application of research results; examples include: (1) cooperates in research with industry, Federal, State, and university laboratories; (2) establishes Cooperative Research and Development Agreements or other types of agreements; (3) develops patent applications; (4) plays a major role in organizing and conducting technology transfer workshops, events, and demonstration projects; (5) develops and releases technology or research data to other scientists and action or regulatory agencies; and (6) communicates research findings and potential impacts with trade associations, commodity or producer organizations and other stakeholders. Fully informs customers and stakeholders on the mission and status of the research program as well as important advances in research. Provides timely, complete and accurate Agency reports and other documents when requested or directed according to Agency policy. Provides technical information, advice or counsel to the agricultural community and other public sectors in a professional and timely manner. Participates in professional societies and technical advisory groups. This may include presenting research, serving on committees, editorial boards or working groups. Serves, as appropriate, on review panels for organizations, such as NIFA, NSF, NIH, AID, and BARD. Supports Agency goals by participating in Agency, REE and Departmental activities; serving when requested, for example, on Research Position Evaluation System (RPES) panels, as internal peer reviewer for Project Plans or grant proposals, on special assignments, on task force groups, and on location committees. 			
SPECIFIC GOALS FOR THE RATING PERIOD:			
4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)			EXCEEDS FULLY SUCCESSFUL DOES NOT MEET
ACCOMPLISHMENTS:			

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1. Name (Last, First, M.I.) Position Title:	Pay plan, Series, Grade	Agency/Division	APPRAISAL PERIOD From: To:
2. PERFORMANCE ELEMENT No. 4 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			<input checked="" type="checkbox"/> CRITICAL NONCRITICAL
Element Number 4 - PROFESSIONAL COMMUNICATIONS, SUPERVISION & EEO/CR			
3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)			
FULLY SUCCESSFUL LEVEL <ul style="list-style-type: none"> Keeps the Research Leader and the project team informed of research and related activities. Develops and maintains contacts and positive interactions with team members, supervisors, cooperators, cooperating institutions, customers, and administrative personnel in a cooperative manner that ensures the mission and objectives of the research are fully communicated and provide appropriate access to information associated with the project. Holds regular project team meetings to review progress of the current year milestones. Considers capabilities of employees fully, recognizes potential development, and makes appropriate assignments so that the project is recognized by responsible officials as fully productive. Provides guidance and support to cooperating scientists, students, and workers to enhance effective collaboration and productivity. Provides training opportunities to employees as appropriate. Takes appropriate steps to inform and regularly update supervised employees concerning Agency/Research Unit goals, policies, and procedures. Performs all duties in a manner that consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all internal and external customers in the performance of official business. Demonstrates an awareness of Equal Employment Opportunity and Civil Rights (EEO/CR) policies and responsibilities. Through personal action, demonstrates support of equal employment opportunity principles in all decisions affecting supervised employees which may include activities in one or more of the following functional areas: recruitment, interviewing, selection, training, performance evaluation, promotion, travel, awards, adverse action, and work assignments. Where applicable advises supervised employees and establishes through personal example that when addressing employees, delivering speeches, making public appearances, or representing the Agency in any capacity, inappropriate comments regarding race, age, color, sex, religion, national origin, individuals with disabilities, or marital status will not be tolerated. Is conversant on the Agency's Affirmative Employment Program Plan (AEPP) and actively participates in the accomplishment of the Agency's goals and objectives. Maintains an atmosphere of equal treatment in the work Unit by discouraging discrimination of any form. This includes assuring the prompt and fair resolution of all formal and informal complaints of discrimination. Puts Performance Standards in place that are aligned with Agency/Department strategic goals for supervised employees within 30 days of Enter on Duty (EOD). Conducts mid-year performance reviews and annual performance evaluations of employees. Identifies and addresses poor performance and inappropriate conduct at the earliest possible stage. Seeks employee feedback to identify needs and expectations and considers employee perspective when making decisions affecting employees to develop a well-informed staff who are effective and efficient implementers of management decisions. Considers internal and external stakeholder needs and expectations in making decisions, devising solutions, and resolving conflicts. Includes those that are consistent with Agency priorities in plans and commitments, and monitors for success in achieving results. Establishes and reviews/updates Individual Development Plans (IDPs) annually. Within available funding, provides developmental opportunities to ensure that employees possess appropriate competencies for work assignments; utilizes no cost options in employee development including AgLearn and mentoring. Assures that the IDPs reflect assessment of current employee skills and future skill needs of the Unit. 			

Element 4: SPECIFIC GOALS FOR THE RATING PERIOD:

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)

| | EXCEEDS | | FULLY SUCCESSFUL
| | DOES NOT MEET

ACCOMPLISHMENTS:

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2. PERFORMANCE ELEMENT No. 5 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			X CRITICAL NONCRITICAL
Element Number 5 - RESOURCE, SECURITY, SAFETY, HEALTH, AND ENVIRONMENTAL MANAGEMENT			
3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)			
FULLY SUCCESSFUL LEVEL <p>In fulfilling the duties of this element, due diligence includes but is not limited to the following four items: 1) communicating to employees the importance, rationale, and necessity of Safety, Health, and Environmental Management (SHEM) responsibilities, 2) ensuring the development of required plans and other materials, 3) ensuring the documentation of compliance through required reports, and 4) taking steps for abatement projects or remedial measures as required for functionality or compliance with statutes and regulations.</p> <ul style="list-style-type: none"> RESOURCE MANAGEMENT <ul style="list-style-type: none"> Contributes to judicious management of fiscal resources according to Agency procedures. Ensures that resources used and research efforts have program and fiscal accountability that are in line with one or more project objectives. As funds allow, evaluates and upgrades the assigned facilities, vehicles, equipment, and Information Technology (IT) capacity. Maintains facilities, vehicles and equipment in functional and safe condition. Declares surplus and disposes of excess equipment. Supports ARS and USDA programs governing engineering, real property management (USDA-REE 245.1) and personal property management (USDA-REE 221.1M). Promotes synergistic sharing of equipment and facilities within and outside the Management Unit. SAFETY, HEALTH & ENVIRONMENTAL MANAGEMENT (SHEM) <ul style="list-style-type: none"> Supports applicable ARS and USDA SHEM Programs as provided in USDA-REE Manual 230.0. Achieves and maintains compliance with those programs and applicable State and local requirements and standards. Provides leadership, resources, training, and opportunities for employees to participate in programs related to safety, health, and environment (e.g., safety committee, Environmental Management System (EMS) committee, green team, etc.). Emphasizes responsibilities of employees for these programs and holds employees accountable through their Performance Plan. Actively promotes the establishment and work of these committees. Supports Occupational Medical Surveillance Program (OMSP), Worker's Compensation, and related leave policies as established by the ARS Human Resources Division (HRD). Supports applicable animal use and care programs as provided in Directive 130.4 and USDA-REE 635.1 and any applicable Federal regulations. SECURITY <ul style="list-style-type: none"> Ensures that ARS Homeland Security requirements are met and properly documented (ARS 230) when hosting visiting scientists or foreign workers whether or not sponsored by ARS. Supports Homeland Security programs relating to physical and cyber security. Supports ARS and Area security policies, procedures, and guidelines related to the physical security and protection of employees, experimental materials, organisms, and facilities. Promptly reports any security breaches and malfunctioning security equipment to the responsible Security Officer. Participates in security awareness programs and actively supports the promotion of a secure work environment. Supports ARS and USDA Information Systems Security Programs as outlined in 253.3- ARS and other issuances provided by the ARS Office of the Chief Information Officer (ARS-OCIO). Supports applicable ARS Biosafety and Biosecurity programs as required by ARS and other relevant agencies. 			

Element 5: SPECIFIC GOALS FOR THE RATING PERIOD:

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)	EXCEEDS FULLY SUCCESSFUL DOES NOT MEET
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ACCOMPLISHMENTS: